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STATE OF CALIFORNIA
DEPARTMENT OF INDUSTRIAL
RELATIONS
DIVISION OF APPRENTICESHIP
STANDARDS

AUDIT REPORT
For

**Program Shasta Butte Electricians,
JATC, File 09600**

The Division of Apprenticeship Standards (DAS) creates opportunities for Californians to gain employable lifetime skills and provides employers with a highly skilled and experienced workforce while strengthening California's economy.

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SUMMARY

The Division of Apprenticeship Standards (DAS) presents its audit report concerning the Shasta Butte Electricians Joint Apprenticeship Training Committee (JATC) program; DAS file number 09600, (hereafter "Program"). The audit was selected randomly by the DAS for an audit. The audit was performed during January 14-16, 2009 and was conducted pursuant to California Labor Code §3073.1.

A review of files held at the Sacramento District Office revealed a lack of updated program information. During the preliminary audit, the program gave the auditor access to all files. The number of registered apprentices reported is correct in the DAS database and the program is accurate. The number reported is included in the insert below.

NUMBER OF REGISTERED APPRENTICES

DAS Records Based Upon Program's Submittals	17	According to Program	17
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FINDINGS AND RECOMMENDATIONS

The program is keeping the apprentices on schedule. Program's management system is maintained in handwritten tablets covering several years. All apprentices' files contained an "Apprentice Scholarship Loan Agreement between Apprentice and the Shasta-Butte Electrical JATC Trade." A review by the DAS consultant will be necessary to update the program on necessary/required documentation in each apprentices file.

The training facility located in the Shasta Community College is a large site which is shared by other training entities. However, on Tuesday evenings between 6 pm and 10 pm only program apprentices are assigned to use the training site. The record keeping processes are in place and the program is able to notify employers of apprentice upgrades and rate increases. Discussion with the instructor indicates he takes attendance when classes begin; records on class attendance and completion of Related Supplemental Instruction (RSI) are available. A positive attendance report is turned in twice a semester to the Dean of Natural Sciences/Industrial Sciences.

INTRODUCTION/BACKGROUND

AUDIT HIGHLIGHTS

The review of the Shasta Butte Electricians Joint Apprenticeship Training Committee (JATC) program; Division of Apprenticeship Standards (DAS) file number 09600, (hereafter "Program") found that:

- ☑ The program has submitted revision of standards as of September 4, 2004. The last full approved standards were May 10, 1988.
- ☑ The program requires all apprentices to sign and confirm that they understand the programs Rules and Regulations. The apprentice files contain signed copies of this document.
- ☑ The number of registered apprentices for this program is correct.
- ☑ The program files did contain consistent OJT work hours. Yet, all blue books lack signatures by supervisors. All apprentices use the blue book to track work processes and OJT work hours. Work processes are consistent with program apprenticeship standards. Records of disciplinary actions due to poor work performance or excess absences were not found.

On January 14-15, 2009, the auditor met with key administrative personnel, examined records, observed administrative activities, conducted a walk-through of the training facility and visited job sites in connection with the audit. Shasta Butte Electricians Joint Apprenticeship Training Committee (JATC) program operates as a Labor/Management Cooperative and the principal partners in the cooperative effort are the members of the Association Local collective bargaining agreement the NECA and IBEW. The program has an Apprentice Trust Fund. The program's funding mechanism comes from employer contributions, Related Supplemental Instructional (RSI) Funds and state prevailing wage training fund contributions.

The Daily operations, management and administrative functions are run by one part-time primary staff, the committee secretary and two instructors which include the committee secretary. The program office is located at 900 Locus St. Suite 7, Redding CA, 96001.

Employers are approved to train when they have completed an Agreement to Train Apprentices, DAS-7 form. The program indicated that they dispatch to employers and non-union employers who agree to abide by the program's standards, rules, regulations and policies.

The apprenticeship program provides a training program for the following occupations:

Name of Occupation	Term of Apprenticeship	Number of Apprentices
Electrician	60 months	17

The Related and Supplemental Instruction is provided by the Shasta Community College Local Education Agency (LEA). All apprentices are required to attend classes every Tuesday evening 6:00pm-10:00pm.

Each apprentice is enrolled and receives a comprehensive orientation packet that includes the rules and regulations, an explanation of the program standards, the apprentice Record book (blue book) and a class schedule.

Continued on next page

- ☑ The job site review found that the apprentices are confident on how to complete the blue book card. A statement by the apprentices indicates *"getting the signature of a supervisor is very difficult."*
- ☑ The program *has not* completed nor submitted the annually required Self-Assessment Review and Program Improvement Plan to DAS for 2008-09.
- ☑ The program committee meeting minutes do include formalize motions to approve indentures, upgrades, prior credit, cancellations, completions, evaluations.

SCOPE AND FOCUS

The principal objectives of the audit are to ensure the program is complying with their standards, that all on-the-job training is performed by a journeyman, that all related and supplemental instruction required by the apprenticeship standards is being provided, that all work processes in the apprenticeship standards are being covered, and that graduates have completed the apprenticeship programs' requirements.

The audit focused on reviewing records and activities that tend to support and substantiate the programs' efforts, practices, system and capabilities to provide and deliver the on-the-job training and related instruction. The programs' policies and procedures and procedures were reviewed to determine if they support the programs' approved standards.

METHODOLOGY

After completing an initial review of the programs' standards and records on file with the DAS, an audit plan was established with the following steps:

1. Notified the program 14 days in advance of our intent to audit.
2. Prepare an entrance interview.
3. Organization of all working paper to conduct the interview.
4. Confirm the location where records are maintained.
5. Conduct a review of all apprentice files.
6. Set the time and date of the meeting.
7. Schedule inspection of the training facility and job sites.
8. Request and review copies of the committee meeting minutes for the last 12 months.

All steps listed above were accomplished and include interviews with primary staff, apprentices and job site supervisors'.

AUDIT RESULTS

1. STANDARDS

The objective is to determine whether the programs are submitting periodic revisions to their standards and if standards are reasonably current. "Standards" are a written document containing all terms and conditions for the qualification, recruitment, selection, employment and training, working conditions, wages, employee benefits and other compensation for apprentices. It may also include other provisions and statements. All apprenticeship programs are required to submit their apprenticeship standards to the DAS Chief for approval. The California Code of Regulations states the program must submit revisions to its standards when necessary.

(a) Findings

(1) The review found that the program has submitted DAS 24's to the DAS consultant; the latest revision of standards being October 8, 2004. The program *has not* submitted a full approved revision of standards since May 10, 1988.

(b) Recommendations

(1) The program should begin to update a full revision of standards with help from the DAS consultant. Program will submit a full revision of standards. *Due within 90 Days*

(2) In the future, program will need to review and update standards as required. Standards (full revision) should be submitted on an average of every five years.

Section 205 (f), 212 (a)(6) (7), (c)(2) (11) of the California Code of Regulations states that the program sponsor must submit revisions to its standards when necessary.

2. RULES AND REGULATIONS

The objective is to determine if the programs have adequate rules and regulations, are implementing them as required, and provide a copy to the apprentices. The rules and regulations can be defined as an orientation or workshop session that explains the apprenticeship program standards and the operation of the apprenticeship program. It includes information on what is expected by both the program and the apprentice. When the apprentice is approved by the program to enter training he/she is given a copy of the rules and regulations and attends an orientation session with the part-time primary staff, the committee secretary. The apprentice must sign the document indicating they have received, read and understood the rules and regulations.

(a) Findings

- (1) This review found that the apprentice files contained signed copies indicating the apprentice had received, read, or understood the rules and regulations. A copy of the rules and regulations was submitted to the auditor with a date of 2008-09.

(b) Recommendations

- (1) Review Rules and Regulations Apprenticeship package annually and update as needed.

Section 3071, 3073, and Section 212 (a) (6) (7), (c) (2) (3) (8), (14) of the California Code of Regulations states that the program must establish rules and regulations that govern the program.

3. ACTIVE APPRENTICES AND CANCELLATIONS

The review of this item is to determine if the program is monitoring apprentices as they enter and proceed through the program. It is also to determine if the program is maintaining accurate records on both the active and cancelled apprentices. The program should have the ability to provide evidence of procedures used for periodic reviews and evaluation of the apprentice's progress in job performance and related instruction and maintenance of appropriate progress records. In addition, the program should have a process in place to notify the DAS when an apprentice leaves the program.

(a) Findings

- (1) The number of registered apprentices does match the DAS database.
- (2) The apprentices reviewed do not contain proper evaluations in the files. Most evaluations are mailed in by the employer to the program. Program will need to communicate with employers to receive timely evaluations. Files of previous cancellation are kept in the office and were viewed by the auditor.

(b) Recommendations

- (1) The program will submit paper work to the DAS to cancel the one apprentice and continue to keep the DAS informed of indentures, cancellations and completions in a timely manner. *Due within 30 Days*
- (2) Files of apprentices should be updated to contain evaluations.
Due within 30 Days

Section 205 (a)(1)(2) (i), 212 (a)(6) (7)(8), (b)(9), (c)(2)(10) 224 of the California Code of Regulations states that the program sponsor must maintain accurate apprenticeship records and submit changes, updates and revisions of an apprentice's status when necessary.

4. ON -THE JOB TRAINING (OJT) PROGRESS RECORDS, ADVANCEMENTS AND EVALUATIONS

Our review is to determine if apprentices are progressing on schedule, that the program is maintaining adequate OJT records, receiving periodic evaluations and if the program has an adequate records and a system in place to ensure that apprentices are covering all the work processes.

The program uses the following items to track apprentice's schedule, OJT records, periodic evaluations and work processes:

- The apprentice must abide by the requirements set by the program and the terms of the Collective Bargaining Agreement.
- A (DAS) blue book is used to verify work processes and track work hours.
- The employer provides work evaluations every six months and may contain work hours completed. The program will notify the employer and apprentice when advancements are earned insuring timely upgrades and employer being aware of proper rates of pay and benefits.
- To keep the apprentice on schedule the program will send out written notices on class schedules, employer letters and evaluations. Apprentices failing to meet requirements are cited and notices are mailed with a request to explain why they should not be disciplined or terminated.

The program issues all indentured apprentices a blue card to record their daily work assignments. The apprentice is then required to turn-in this blue card each month. The audit found copies of the blue cards in all apprentices' files.

(a) Findings

- (1) The majority of blue cards reviewed *did not* contain signatures of supervisors. The apprentice files showed work hours and were consistent. The employer evaluations and monitoring records *were not* consistent. The files did not contain a consistent record of all absences related to school.

(b) Recommendations

- (1) All future blue cards should have signatures of supervisor as the apprentice works through the OJT processes. The DAS consultant will work with program to meet this goal for future blue card signatures. It is not necessary to go back and get signatures from supervisors. Due within 90 days
- (2) Review the programs standards with a concentration of updating the work processes.

Section 3073.1, 3076, 3078(e) of the Labor Code, and Sections 208, 210, 212(a) (4) (5) (7) (8), (b) (9), (c) (2) (6) (8) (9) (16) (18), of the California Code of Regulations. The program must offer training and supervision in all the work processes defined in its standards and has a system to ensure that apprentices cover all the work processes. The program must have a system of documenting and maintaining records that will assist in the review and evaluation of the apprentice's progress in job performance. The program must have a procedure for recording and maintaining accurate records, and a procedure for periodic review and evaluation of progress.

5. RELATED AND SUPPLEMENTAL INSTRUCTION (RSI)

The objective of our examination was to determine if apprentices are progressing on schedule, attending classes, covering the entire course of study, and to ensure the programs are maintaining accurate records with adequate systems in place to provide training.

The program has Related and Supplemental Instruction (RSI) and Local Education Agency (LEA) are located in the Shasta Community College. The College is a large site and is shared by other training entities. However, on Tuesday evenings *only apprentices* are assigned to use the training site.

The record keeping processes are in place and the program is able to notify employers of apprentice upgrades and rate increases. Discussion with the instructor indicates he takes attendance when classes begin and records on class attendance and completion of RSI are available.

The program is assigned the oversight of the Related Training Curriculum. The apprentice files *do not include records* of attendance. As well as evaluations/grade reports from the instructor. The apprentices are required to participate in RSI away from the job as specified by the program. Classes are part of the NJATC curriculum and other courses as determined by the JATC. Each apprentice is issued a schedule of classes. Classes start promptly at 6:00 pm to 10:00 pm, every Tuesday evening. Apprentices are required to sign in when classes begin.

(a) Findings

- (1) The *apprentice files did not* contain a consistent record of absences related to school attendance nor grade and completion reports from the instructor with a recommendation that the apprentice is ready for the next level of instruction.

(b) Recommendation

- (1) Program will update apprentice files on absences and attendance and grade completion. Due within 90 days

Section 3073.2, 3078(d), of the California Labor Code, and Section 205(e)(h), 212(a)(3)(6)(7) (c)(13)(14) of the California Code of Regulations states that it is recommended that the program provide a minimum of 144 hours per year of supplemental instruction for each year of apprenticeship and adequate arrangements for related and

supplemental instruction, and have the ability and commitment to train apprentices with current industry standard criteria.

6. TRAINING CENTER

The objective is to ensure the program has adequate facilities, tools, materials and equipment to train apprentices, and to determine if the facilities are utilized and adequate for training.

There are two instructors, which include the committee secretary and a journey level electrician in the program. During the visit, classes were not in session due to the time of day. The auditor toured the facility which included the training center. The center consists of large classrooms with plenty of room to train large groups of apprentices. Moreover, a large single floor lab which functions for demonstrations and hands-on working practice as directed by specific scenarios. The instruction is done with good health and safety practices in mind.

(a) Findings

- (1) The inspection of the classroom training facility and found it to be adequate to train apprentices.

(b) Recommendation

- (1) The program will continue current practices and insure plans for growth are based upon the current successful model.

Section 3074 of the California Labor Code—Section 212(a) (3) (4) (8), (c) (13) (12), 212.3 of the California Code of Regulations states that the program sponsor must have adequate arrangements for related and supplemental instruction.

7. MECHANISM TO KEEP APPRENTICES REASONABLY EMPLOYED

Our objective is to determine if apprentices are kept reasonably employed, to ensure the program has adequate systems in places to rotate apprentices so they cover all work processes, and to provide apprentices with continuing employment in the event of a layoff.

The review found the program has an established system to keep apprentices reasonably employed and to provide them with continuing employment in the event of a layoff. Apprentices are dispatched from the List of Available Apprentice, whether he or she is an entry level apprentice or an unemployed indentured apprentice. It is the apprentice responsibility to keep the office advised of any phone or address changes that may occur. It is also the responsibility of the apprentice to be current in all fees or dues. The program has indicated there are about 300 apprentices on the out of work list which comes from the Sacramento Electricians District Office.

(a) Findings

(1) The referral/dispatch system keeps the apprentices employed within their industry. The program has a process in place to send out apprentices to employers. The committee secretary dispatches Monday through Friday in the early morning.

(b) Recommendation

(1) The program should continue the system they have in place, no recommendation at this time.

Section 3080 of the Labor Code, and Section 212 (b) (7) (9), (c) (16) (18) of the California Code of Regulations. The program(s) must have a mechanism to keep apprentices reasonably employed and maintain accurate documentation Section 3080 of the Labor Code, and Section 212 (b) (7) (9), (c) (16) (18) of the California Code of Regulations.

8. JOB SITE VISIT

A review of the job site offers an opportunity to view a job in progress, observe the work that is being done, and allows us to discuss the operation of the program with the apprentice. It enables direct contact with the apprentice to determine the following:

- If the apprentice is performing the various task listed within the work processes of their trade.
- If advancements are made on schedule.
- If the apprentice is receiving the correct pay and benefits.
- If the apprentice is kept employed on a reasonably continuous basis.
- If the programs' mechanism to keep apprentices reasonably employed is adequate.

The auditor was given a list of 7 specific job sites. The job site visits were then selected by the Sacramento auditor of which a total of 4 were reviewed. Most were Public Works projects. At each job site the ratio between apprentice and journeyman was one on one. Interviews were conducted with one apprentice on each job site. All the apprentices had their own tools and other equipment, plus materials sufficient to train the apprentices. Each apprentice is receiving proper pay and benefits and attends OJT classroom training. The interviews confirmed apprentices are advanced on their own schedule. The auditor confirmed that each apprentice writes in the total hours of each of the work processes they perform each week in their blue card.

(a) Findings

(1) The apprentices interviewed understand how to properly complete the yellow card OJT Record Books and each apprentice was completely aware of the blue card due date each month.

(b) Recommendations

(1) The blue cards are *not* signed by the job site supervisor which does not validate the OJT (work processes) work hours. All future blue cards should be signed by the work supervisor by the next quarter. Program should help to assist apprentice with requirements of blue card validation.

Due within 90 days

(2) The program should continue to monitor job sites ensuring apprentices are adequately employed at the work processes, recording OJT work hours, working under the direction of a journeyman, and paid the proper wage rates and benefits. Working with the DAS consultant will help program to meet the guidelines of the apprentice program.

Section 208, 212(a) (1) (2) (4), (b) (4) (5) (6), (c) (6) (13) (14) of the California Code of Regulations states that all on-the-job training will be performed by journeymen, that all related and supplemental instruction required by the apprenticeship standards will be provided, that all work processes in the apprenticeship standards are being covered, and that graduates have completed the apprenticeship program's requirements.

9. SELF-ASSESSMENT REVIEW AND PROGRAM IMPROVEMENT PLAN

The objective is to determine if the program has submitted the annual Self-Assessment Review and Program Improvement Plan. The California Code of Regulations Title 8, Section 212.3 requires programs to perform an annual self-evaluation and to create an improvement plan. The DAS now requires that each program submit a copy of their Annual Self-Assessment Review and Program Improvement Plan to their apprenticeship consultant by December 1 of each year.

(a) Findings

(1) The required annual Self-Assessment Review and Program Improvement Plan *have not* been submitted for 2009. Conversation with the committee secretary acknowledges the oversight. The Review and Plan are due by December 1, of each year.

(b) Recommendations

(1) The program will complete and submit the Annual Self-Assessment Review and Program Improvement plan for 2009. Due within 60 days

The Self-Assessment and Program Improvement Plan is a tool for setting goals for your program and adapt the listed changes during the previous 12 month period.

Section 212 (a) (6) (7), (c) (2) (11), 212.3 of the California Code of Regulations states that the program sponsor must submit annually a Self-Assessment Review and Program Improvement Plan to the DAS.

10. COMMITTEE MEETINGS AND MINUTES OF MEETING

Joint apprenticeship committees have equal representation from labor and from management. Each committee also includes a consultant representing the Division of Apprenticeship Standards or the Bureau of Apprenticeship and Training, U.S. Department of Labor. There is also an advisor from the local public school district and such other advisors and the apprenticeship consultant act without vote. This committee is responsible for administering the Standards for this program. In carrying out its functions, the committee has certain authority under the law. The actions, therefore, must be in accordance with approved apprenticeship standards and should be recorded in the minutes.

The objective is to determine if the apprenticeship committee is meeting on a regular basis, documenting actions, discussing and reviewing apprenticeship records, and making appropriate assessments and evaluations.

The programs standards state that the committee is composed of six (6) members. Three (3) are qualified to represent the National Electrical Contractors Association, Inc., and three (3) to be qualified to represent the Local Union of the International Brotherhood of Electrical workers.

The committee provided the program meeting minutes for the past year. The meetings are held quarterly, unless more meetings are necessary to address certain issues. The frequency of the meetings was established and written in a trust document. The program stated that all disciplinary actions must be reviewed by the committee.

(a) Findings

- (1) The committee minutes for the last 12 months found all record of disciplinary actions. In addition, the committee discusses and reviews apprenticeship records and makes appropriate assessment and evaluations.

(b) Recommendations

- (1) Continue the system that is in place, no recommendation at this time.

Section 3076, 3080(b), 3078(d)(f), 3079, 3093(k), of the California Labor Code, and Section 213, 218, 212(7), 208(5), 205(e)(f)(g)(i), 212(c)(1)(6) (9), 224 of the California Code of Regulations states that the program sponsor must maintain adequate documentation and records.

11. COMMENTS FROM PROGRAM SPONSOR

Comments, if submitted by the program sponsor during the 14-day review and comment period, will be included with this report to the Chief of DAS and ultimately to the California Apprenticeship Council.

12. CORRECTIONS AND TIMELINE

The audit findings and recommendations are set forth in this report. The program has 14 days from the receipt of this report to review and submit comments on the report.

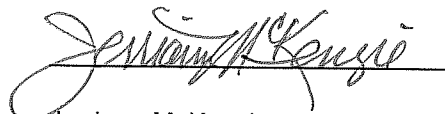
Within 10-days following the receipt of comments or the completion of the comment period, a final report will be submitted by the Chief of DAS to the California Apprenticeship Council.

The final report will detail the findings with recommendations for remedial actions. The programs must remedy all deficiencies and be in full compliance with their apprenticeship standards. The programs must notify the DAS in writing when deficiencies have been remedied. A DAS representative will schedule an appointment to review the completion of the remedial actions. Failure to comply may be grounds for withdrawing state approval of the apprenticeship programs.

13. REMARKS

The results of this audit do not modify, replace or negate other duties and requirements or any previous notices you may have received regarding the fulfilling of your obligations prior to or after the audit period. In addition, law changes or new rulings might result in different findings in future audits.

Respectfully submitted by,



Jerriann McKenzie
Apprenticeship Auditor
DAS, Sacramento District Office



Date: March 9, 2009



SHASTA BUTTE JOINT ELECTRICAL JATC
DISTRICT OFFICE
FRESNO
TRAINING FUND

DWIGHT T. EVANS, Secretary

200 LOCUST ST., #7 FRESNO, CALIFORNIA 93701

PHONE (510) 241-7222



I. B. E. W.

March 9, 2009

Jerri McKenzie, Apprenticeship Auditor
Department of Industrial Relations
Division of Apprenticeship Standards
2424 Arden Way, Suite 160
Sacramento, CA. 95825-2488

Dear Jerri:

As per our conversation of earlier today, I wanted to confirm that we received the Audit Report of our program on February 25, 2009.

We have perused the report and are implementing remedial steps to address the findings utilizing your recommendations.

We don't see anything in the Audit Report that we can't accomplish. We will be in communication with our Consultant for his assistance and guidance in updating our Standards.

Sincerely,

Dwight T. Evans, Secretary
Shasta Butte Electrical JATC

cc; file

10 MAR 11 AM 10:52

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SHASTA BUTTE JOINT ELECTRICAL INDUSTRY TRAINING FUND

DWIGHT T. EVANS, SECRETARY

900 LOCUST ST., #7 REDDING, CALIFORNIA 96001

PHONE (916) 241-2468



PLEASE DELIVER THE FOLLOWING PAGES TO:

1. Terri McKenzie / DAS FAX NO. 916-263-0981
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REMARKS: Receipt of Apprenticeship Audit

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